

GENERAL CASEWORK GUIDELINES

A. Definition: Casework includes the provision of all services, consistent with agency expectations, from application to closure, including intake and eligibility, arranging and providing services and appropriately recording provision of those services. These are items which apply to all or most statuses. They may require review of more detailed instructions elsewhere in this manual, or in the agency Reference Manual.

B. Scope of Services: A broad range of issues that impact service provision in many parts of the vocational rehabilitation process.

C. Agency Expectations:

1. R-413 Recording

R-413 case notes meet agency needs through completion of appropriate forms and provide other facts necessary to ongoing casework. In achieving these purposes, duplication of documentation should be eliminated. The emphasis of case recording should be on concise reporting of objective and behavioral data for the use of other staff who may serve the client.

a. Instructions specific to all R-413 entries:

- 1) All entries must be dated. (NOTE: The status date on the CSR-300 and that of the corresponding R-413 entry may vary a few days.) A case note can be a summary of several contacts or attempted contacts.
- 2) Each entry will be followed by the name or initials of the author. If handwritten, the entry must be legible.
- 3) Each new R-413 page will have client's name at top left side, last name first, and the page number.

b. This part of the casefile is for:

- 1) Summaries of Information - what must be included in each is found under the appropriate status in the following pages.
- 2) Counseling Notes - Information which relates to the ongoing attempt to resolve problems, but does not constitute a program review.
- 3) Status Movements - Status movements are recorded to provide a chronological record of activity.
- 4) Authorization Data - Only a summary notation of authorization data is required (ex: 4/1/99 Authorization for tools written to ABC Vendor Company), except when an exception to policy is being requested. Cancellations and amendments should also be noted.
- 5) Eligibility - The R-413 Face Sheet is completed, within 60 days.

August, 2007



2. Use of Material from Closed Files

It is not unusual for an individual to have an open casefile on multiple occasions. Collecting and recording the same information multiple times is not a good use of the time of the client or counselor.

If the closed file is obtained prior to the new intake being done, the old material can simply be updated and put in the new file, if those forms are the current version. If the closed file was available in time, a copy of the old application and Health Assessment Questionnaire could be sent to the client with a request that they be updated. In many cases the old application, intake summary, and Health Assessment Questionnaire, with updates, can be put directly into the new casefile, without completing it anew.

Old medical, psychological, school, and other records still relevant to the case are routinely brought forward to the new file. The remainder of the old casefile material is placed at the bottom of the new file under the %Old Casefile Material+divider.

3. Significance of disability (SD) . An individual may be determined to be SD or Most SD at any time after eligibility is determined. Additional assessments for purposes of determining the proper waiting list placement can be done in Status 04. Once determined to be SD or Most SD, an individual's classification is never downgraded during the time that file is open, except to correct a recording error.
4. Individual Plan for Employment (IPE).
 - a. A counselor should never agree to an IPE they believe to be unachievable.
 - b. An IPE should be developed and signed with a high school student prior to school exit.
 - c. An IPE should be developed and signed with an adult within 120 days of eligibility determination.
 - d. The total program must be reviewed with the client at least annually on the IPE-3. The client should be informed in counseling and through the IPE-3 when satisfactory progress is not being achieved.
 - e. To completely redevelop a program, use a new IPE-2.
 - f. Significant changes in objectives, activities, or the division of responsibilities will be done on an IPE-3.
 - g. On a rehabilitation closure the vocational goal at closure must be the job the individual is currently performing.

August, 2007



5. Active status . When an individual is receiving services that could fall under two or more of the active statuses (Status 14-22) the counselor should use the status that they have determined is the most important service.
6. Authorizations . When an authorization is written a notation of the date, vendor, and amount should be made in a case note. At closure the case should be checked to make sure that all outstanding authorizations have been canceled.
7. Transfer of Case files
 - a. Transfers Out of the Office:
 - 1) Transfer Summary - The counselor will summarize the current case situation, stating why the case is being transferred and what the next actions are expected to be, including the current disability issues, any program issues, and financial issues. If the transfer is due to a client's change of residence, the new address and phone number should be included, if available. Whenever possible, include the full name and telephone number of relevant contacts, such as Case Managers, County Central Point of Coordination (CPC), or other contact persons. Authorizations which will not be claimed should be canceled.
 - 2) R-412 Application - The original copy is located in the casefile directly under the CSR-300.
 - 3) CSR-300 - Make sure all entries are correct and up-to-date. Leave CSR-300 set in its normal place in the file. If it is in the turnaround process, forward it to the new office when it is received.
 - 4) Make cover letter and place original on top of CSR-300 in casefile.
 - 5) Prepare label and brown mailing envelope.
 - 6) Send a letter to client informing them of the location of the new office.
 - b. Transfers Received
 - 1) Make R-413 entry, using date of reassignment and to whom.
 - 2) CSR-300 - Complete Line D - Items 25, 28
 - 3) Letter to client informing them of name of new counselor and telephone number.

August, 2007



c. Transfers to Another VR Agency

1) Iowa Department for the Blind - If the client applies for services from the Iowa Department for the Blind, or requests that the IVRS file be transferred there, the VR counselor will arrange a discussion with the Department representative to determine which agency should be providing the services. If services are to be provided by the Department, the case will be closed in the appropriate status and a photocopy of the material in the file sent to the Department for the Blind. Original case files are never sent outside the agency.

2) Rehabilitation agencies in other states - If a release of information is received from the client or from the VR agency in another state, for the IVRS casefile to be transferred to that state, the case will be closed in the appropriate status and a photocopy of the material in the file will be sent to the requesting state VR agency. Original case files are never sent outside the agency.

d. Transfer at client request . If a client requests a change of counselor, the request should be directed to the area office supervisor for review. Supervisors may grant requests where it is possible to do so without incurring additional cost to the agency.

8. Iowa Client Assistance Program . At application, closure, and at significant points while the file is open the client should be told about their right to contact and possibly receive assistance from the Iowa Client Assistance Program (ICAP). Inform the client that ICAP is located at the Iowa Commission of Persons with Disabilities, Department of Human Rights, Lucas State Office Building, Des Moines, Iowa 50319, and telephone contact can be made toll free by calling 1-800-652-4298, or in Des Moines 281-3957 (voice) or 242-6172 (TTY).

9. Appeal . A client has the right to appeal any decision or action related to their case with which they disagree. They should be told about this right at the time of application, closure, and at significant points while the file is open.

10. Mediation . A client has the right to request mediation for any decision or action related to their case with which they disagree. They should be told about this right at the time of application, closure, and at significant points while the file is open.

August, 2007



11. Correcting Dates of Case Actions
 - a. No back dating of status changes is allowed beyond the end of the previous quarter.
 - b. Appropriate back dating of changes within the quarter is permissible with proper case record documentation.
 - 1) Files closed in Status 26, 28, 30, or 38 require review and approval by the supervisor and the Assistant Bureau Chief to have the closure removed.
 - 2) Back dating of any open status requires a case note.
 - c. Cases closed in Status 08 can not have the closure removed unless the correction is made the same day.
 - d. Once a case has moved to Status 12, it can not return to Status 10 or below, except by being closed and re-opened.
 - e. Once a case has moved beyond Status 12, it can not return to Status 12 or below, except by being closed and re-opened.
 - f. If you find you have a duplicate case on the same individual, check VRAP to determine which of the cases does not have any expenditures and close that case immediately. In cases where there are expenditures on both, contact the Administrative Services Bureau (ASB).
 - g. The actual backdating of the CSR-300 can only be done by ASB. They will only do this after the approval steps outlines above have been followed.
12. Transmittal of closures . Send cases to Administrative Services Bureau, ATTN: Statistical Section. Files should be forwarded in small lots, as soon as possible after they are closed, but no later than 10 days after the end of the month in which they are closed.

August, 2007



CASE STATUSES

00-0	õ ..	Referral
02-0	õ ..	Applicant (initial interview and opening file)
04-0	õ ..	Accepted for Services (eligibility), but does not meet waiting list categories being served.
06-0	õ ..	Trial Work Experiences/Extended Evaluation)
08-0	õ ..	Closed Before Acceptance (from Status 00-0, 02-0)
10-__	õ ..	Accepted for Services (eligibility)
12-0	õ ..	Plan Developed, awaiting start of services
14-0	õ ..	Counseling and Guidance Only
16-0	õ ..	Physical and Mental Restoration
18-__	õ ..	Training
20-0	õ ..	Ready for Employment
22-0	õ ..	Employed
24-0	õ ..	Service Interrupted
26-0	õ ..	Closed Rehabilitated
28-0	õ ..	Closed After Program Initiated (from Status 14-__ through 24-__)
30-0	õ ..	Closed Before Program Initiated (from Status 10-0)
32-0	õ ..	Post-Employment Services (from Status 26-0 <u>only</u>)
33-__	õ ..	Closed After Post-Employment Services (from Status 32)
38-0	õ ..	Closed from Status 04

August, 2007



